

# UPDATED REGISTRATION STATEMENT EMPLOYER OF EXECUTIVE AGENCY LOBBYIST

## INSTRUCTIONS

Please complete all sections and all items of the Updated Registration Statement. **Do not leave blanks**; write "none" or check the box "If none, check here", where applicable. If additional space is needed for any item, attach an additional sheet, identifying the section and item number to which the attachment relates. If you have marked "amended," you need only fill in the amended information.

Refer to KRS 11A.211, 11A.216, and 11A.221 as to what information is sought in each section of this combined statement. In addition, certain items are explained below.

### A. GENERAL INFORMATION

**Item 1:** Provide full name of the company or organization employing the executive agency lobbyist(s) as it appears on the Initial Registration Statement.

**Item 3:** Indicate whether this is a regular update statement, final update statement, or an amended statement, i.e., a statement which is being filed after a statement had been previously filed for the same reporting period. An amended statement should be filed if a correction is requested or needs to be made, e.g., a change in Total Expenditure amount in which you later discovered an error; change in address; or filing of an expenditure amount previously withheld from the original statement due to a dispute. If an amended statement is being filed, indicate which reporting year the statement is amending and complete only those sections which are being changed by the amended filing. **A \$125 registration fee is required of all employers when filing the updated registration statement each year regardless of the type of report being filed.**

**Item 4:** Provide the full name of ALL executive agency lobbyists who were registered to represent the employer during the reporting period, including those executive agency lobbyists who are no longer engaged by the employer, but were engaged by the employer during any part of the reporting period. Fill in the EAL registration number(s) of each, if known. **DO NOT LEAVE THIS SECTION BLANK**

**Item 5:** If the engagement of an executive agency lobbyist was terminated, and/ or a new executive agency lobbyist was engaged, during the reporting period, state the name(s) of the individual(s) and the applicable dates.

**Item 6:** If the Initial Registration Statement indicated any real party(ies) in interest, and the employer is adding or deleting a real party, list the name and indicate whether the real party is an addition or deletion.

## **B. EXECUTIVE AGENCY DECISIONS**

List ALL specific executive agency decisions for which executive agency lobbyists were engaged by the employer to influence during the reporting period. An example of an executive agency decision to be listed is "contract for purchase of (commodity) by Kentucky Department of \_\_\_\_\_". List the contract or purchase order number, if known.

## **C. EMPLOYER EXPENDITURES STATEMENT**

Report ALL expenditures made by the employer, which (1) are not being reported by an executive agency lobbyist engaged by the employer, and (2) were made to, or for the benefit of, an elected executive official, any secretary of a Cabinet listed in KRS 12.250, an executive agency official, or a member of the staff of any of those officials. List the name of the official or employee for whom the expenditure was made; type of expenditure; description of meeting, event, or occasion for which the expenditure was made; when the expenditure occurred; and the amount of the expenditure.

Examples of expenditures to be reported include the cost of a reception for, or entertainment of, any of the state officials listed above. You do not need to report expenditures for office facilities, support services, or salary of the executive agency lobbyist.

Any expenditure reported requires the naming of an official or employee, and requires that you deliver a copy of the applicable section(s) of the expenditure statement to the identified official or employee at least ten (10) days before this statement is to be filed with the Commission.

*See KRS 11A.226 for the procedure to be followed relative to any dispute that may arise concerning the reported expenditure.*

## **D. FINANCIAL TRANSACTIONS INVOLVING EMPLOYER OF EXECUTIVE AGENCY LOBBYIST**

If the employer, or a member of the employer's immediate family, had, during the reporting period, a financial transaction with, or for the benefit of, an official or employee so listed, state the name of the official or employee, the purpose and nature of the transaction, the date such transaction was made or entered into, and any other pertinent details.

A financial transaction is a transaction or activity that is conducted or undertaken for profit and arises from the joint ownership, or the ownership, or part ownership in common of any real or personal property or any commercial or business enterprise of any form or nature between:

1. An executive agency lobbyist, his employer, a real party in interest or a member of the immediate family of an executive agency lobbyist, his employer, or a real party in interest, AND
2. Any executive agency employee (including elected and appointed officials) UNLESS such transaction is available to the general public on the same terms.

The reporting of any financial transaction requires the naming of an official or employee, and requires that you deliver a copy of the financial transaction statement to the identified official or employee at least ten (10) days before the statement is to be filed with the Executive Branch Ethics Commission.

*See KRS 11A.226 for the procedure to be followed relative to any dispute that may arise concerning a reported financial transaction.*

## **E. REGISTRATION FEE**

Each employer of one or more executive agency lobbyists is required to pay a registration fee of \$125.00 with the filing of the *Updated Registration Statement, Employer of Executive Agency Lobbyist(s)* whether the employer is submitting a regular or final report. KRS 11A. 211(5). Payment may be made by check or money order payable to the “**KENTUCKY STATE TREASURER**”. For accuracy in recording, it is preferred that payment accompany the filing of the updated registration statement. Failure to submit the \$125 registration fee will constitute a deficiency in the filing of an updated registration statement and will subject the employer to penalties outlined in KRS 11A.990(5).

## **CERTIFICATION:**

This section requires the **original signature** of the person signing for the employer and the date on which the statement was signed. The signing of the statement attests to the completeness and accuracy of the statement, according to the best knowledge of the employer. You may complete the statement electronically by accessing the form from the Commission’s internet website; however, the form must be printed, signed and mailed to the address below. The law requires an “original” signature on all forms. Completed and signed statements and registration fees are due **ON OR BEFORE July 31**.

If you have questions, contact:

Executive Branch Ethics Commission  
#3 Fountain Place  
Frankfort, Kentucky 40601  
(502) 564-7954  
FAX (502) 564-2686

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